

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Sunny K. Yee

Confirmation No.:

Application No.: Unassigned

Examiner: Unassigned

Filing Date: Herewith

Group Art Unit:

Title: METHOD AND APPARATUS FOR SUPPORTING PREPROCESSING IN A WEB  
PRESENTATION ARCHITECTURE

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EL982235971US

Date of Deposit 10/01/2003

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

By

Typed Name: Rebecca A. Evans

Respectfully submitted,

Sunny K. Yee

By

Barry D. Blunt

Attorney/Agent for Applicant(s)

Reg. No. 35,069

Date: October 1, 2003

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200207078-1</b>	APPLICATION NO.	CONFIRMATION NO.
	APPLICANT <b>Sunny K. Ye</b>		
	FILING DATE <b>Herewith</b>	GROUP	

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,606,708	08-12-03	Devine et al.	
	1B	6,536,037	03-18-03	Guheen et al.	
	1C	6,529,936	03-04-03	Mayo et al.	
	1D	6,517,587	02-11-03	Satyavolu et al.	
	1E	6,505,343	01-07-03	Menon et al.	
	1F	6,430,688	08-06-02	Kohl et al.	
	1G	6,397,245 B1	05-28-02	Johnson, II et al.	
	1H	6,380,959	04-30-02	Wang et al.	
	1I	6,345,292	02-05-02	Daugherty et al.	
	1J	6,332,161	12-18-01	Sasson	
	1K	6,278,456	08-21-01	Wang et al.	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	Serial Number 10/652,388; Sunny K. Yee et al., entitled Method and Apparatus for Supporting Object Caching in a Web Present Application, patent application filed in the USPTO 08/29/2003.
	1R	Serial Number 10/652,988; Brian James DeHamer et al., entitled Web Presentation Architecture that Supports Page Navigation Management, patent application filed in the USPTO 08/29/2003.
	1S	Serial Number 10/652,469; Brian James DeHamer et al., entitled Method and Apparatus for Supporting XML-Based Service Consumption in a Web Presentation Architecture, patent application filed in the USPTO 08/29/2003.

EXAMINER

DATE CONSIDERED

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200207078-1</b>	APPLICATION NO.	CONFIRMATION NO.
	APPLICANT <b>Sunny K. Ye et al.</b>		
	FILING DATE	GROUP	

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	2A	6,151,599	11-21-00	Shrader et al.	
	2B	6,018,343	01-25-00	Wang et al.	
	2C				
	2D				
	2E				
	2F				
	2G				
	2H				
	2I				
	2J				
	2K				

## FOREIGN PATENT DOCUMENTS

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	2L					
	2M					
	2N					
	2O					
	2P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)


	2Q	
	2R	
	2S	

EXAMINER	DATE CONSIDERED
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	§	
Sunny K. Yee	§	Group Art Unit: Unassigned
	§	
Serial No.: Unassigned	§	
	§	Examiner: Unassigned
Filed: Herewith	§	
	§	
For: METHOD AND APPARATUS FOR	§	Atty Docket: 200207078-1
SUPPORTING PREPROCESSING IN	§	NUHP:0118/FLE
A WEB PRESENTATION	§	
ARCHITECTURE	§	

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

EXPRESS MAIL MAILING LABEL	
NUMBER:	EL982235971US
DATE OF DEPOSIT:	October 1, 2003
<i>Pursuant to 37 C.F.R. § 1.10, I hereby certify that I am personally depositing this paper or fee with the U.S. Postal Service, "Express Mail Post Office to Addressee" service on the date indicated above in a sealed envelope (a) having the above-numbered Express Mail label and sufficient postage affixed, and (b) addressed to the Commissioner for Patents, Alexandria, VA 22313.</i>	
October 1, 2003	
Date	Signature

Dear Sirs:

**ADDENDUM TO INFORMATION DISCLOSURE STATEMENT**

The attached "Information Disclosure Statement" indicates that Applicant has submitted copies of patents, publications, and other information. However, the Patent Office has recently notified applicants that:

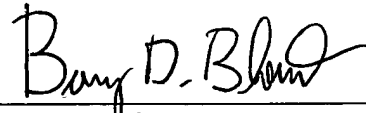
The Office hereby waives the requirement under 37 C.F.R. 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 U.S.C. § 371 after June 30, 2003.

Accordingly, Applicant has not submitted copies of any U.S. Patents or any U.S.

Patent Application Publications cited on the attached form PTO-1449.

Respectfully submitted,

Date: 19 Sep 03

A handwritten signature in dark ink, appearing to read "Barry D. Blount", written over a horizontal line.

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